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ABSTRACT

This module is part of a set of management and supervisor training (MAST) materials developed by the Department of Energy for the Waste Isolation Division. Its stated purpose is to enable trainees to identify and use managerial control. The first section of the module is an introduction that includes a terminal objective and opening remarks intended to focus the trainees' attention on the subjects discussed in the module. Most other module sections begin with a list of enabling objectives. Many sections contain "critical incidents" or real-life occurrences at the Deaprtment of Energy's Waste Isolation Pilot Plant that relate to the section topic. Some illustrate effective management practices, and some illustrate ineffective ones. Each critical incident includes "lessons learned" information. Section topics are as follows: the meaning of control, effective and ineffective control, establishing a control system, measuring productivity, evaluating people, rewarding people, and control through progressive monitoring. A list of "smart moves" is included near the end of the module. Contains seven references and a practice test. Answers and feedback for the test are provided. (YLB)

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ED 395 155

Waste Isolation Division (WID)
Management and Supervisor Training (MAST) Program

CONTROLLING

MAS-109

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A. MODULE INTRODUCTION

Terminal Objective

Upon completion of this module, the trainee will be able to identify and use managerial control.

Mastery of the terminal objective will be demonstrated by scoring 80 percent or higher on the module examination.

Control. For many people, this term has negative connotations. However, control is neither inherently negative nor inherently positive; it can be either, depending on how you use it. The reality is that control is one of the most important tools you have to ensure that your employees meet organizational goals and objectives.

It is easy to misuse control. This module discusses proper and improper uses of control. Learning the effective use of this management tool will help ensure the continuing success of your organization.

Module Overview

- The Meaning of Control. How managerial control helps managers manage.
- Effective Control and Ineffective Control. Too much or too little of a good thing yields poor results. What good control is and is not.
- Establishing a Control System. How to set up a control system for your organization.
- Measuring Productivity. Many of the performance indicators prepared for regulatory use can be used to indicate your organization's performance.
- Evaluating People. Choosing the right person for a task is important. How to address human performance problems as part of managerial control.
- Rewarding People. Some important employee psychological needs are satisfied through work. You can control work by meeting these needs.
- Control Through Progressive Monitoring. What to do when motivation and positive reinforcement do not work.

B. THE MEANING OF CONTROL

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify the basic areas in which managers exercise control.
2. Given a scenario, evaluate the manager's understanding of the managerial control function.

Control is the function of monitoring and adjusting the activities of your employees to meet the goals and objectives of the organization. There are many forms of managerial control. The type of control mechanism that will work for you depends largely on the size of your organization. A supervisor with limited tasks and four to five employees can oversee their work by observation and one-on-one feedback.

Those who manage many employees or diverse activities cannot monitor by direct observation at all times. Consider the WID general manager, who is responsible for safe and effective operation of the entire plant. It would be futile (and highly inefficient) for the general manager to attempt to personally oversee every one of the hundreds of jobs at the plant. Instead, the general manager monitors data critical to safe, efficient operation and directs activities accordingly.

The higher you are in the chain of command, the more important it is to use performance indicators for control. An effective control identifies who controls what and directs information to the person or persons with the authority to correct performance and, if necessary, change priorities. A reportable occurrence is a performance indicator, albeit an undesirable one. The occurrence is reported through the chain of command to the general manager, who can take immediate action if warranted. A good control would alert managers to a potential occurrence in time to avoid the occurrence. For example, important plant equipment is monitored to ensure the equipment will be operable if needed to maintain safe conditions. Unusual indications detected during routine monitoring are reported to managers with the authority to direct resources needed to respond to the indications.

Regardless of your level within the organization, the control function consists of monitoring and feedback. Without controls, you could not ensure that your organization achieves its objectives. Your use of controls contributes to the WID's ability to meet division objectives.

Managers exercise control in four basic areas: people, information, physical resources, and finances.

People control includes:

-Hiring the right person for the right job (covered in MAS-112, *Administrative Requirements*)

-Assigning appropriate tasks to employees (discussed in MAS-104, *Responsibility and Authority*)

-Assessing employee performance (covered in MAS-110, *Employee Relations*)

-Rewarding good performance, correcting poor performance (included in this module)

Information control includes:

-Interfacing with external organizations and the public (MAS-128, *Interfacing with External Organizations and the Public*)

-Making forecasts and projections (covered in MAS-107, *Planning*)

-Obtaining sufficient information to effectively make decisions (discussed in MAS-105, *Problem Solving and Decision Making*)

-Comparing performance with objectives and providing feedback (included in this module)

Control of physical resources includes:

-Maintaining neither too few nor too many materials and supplies (covered in MAS-117, *Material Control*)

-Ensuring that products or services meet appropriate quality standards (discussed in MAS-114, *Quality*)

-Obtaining the proper equipment to perform a task (covered in MAS-123, *Industrial Safety*)

Financial control includes:

-Budgeting; ensuring your organization has enough capital to perform efficiently, but not enough to allow inefficiency (discussed in MAS-115, *Budgeting and Cost Control*)

-Purchasing (covered in MAS-116, *Purchasing and Accounting*)

The focus of this module is on people control--how you can achieve objectives through your employees' efforts.

C. EFFECTIVE AND INEFFECTIVE CONTROL

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify characteristics of effective control.
2. Identify characteristics of ineffective control.
3. Given a scenario, evaluate the manager's effectiveness in exercising managerial control.

Managerial control can be compared to the setting of room temperature. Assume all of your employees are located in one building that has one thermostat. Setting the thermostat at either extreme (high or low) is almost guaranteed to make everyone uncomfortable and non-productive. So you attempt to find an ideal setting--a temperature at which all employees will be comfortable and productive. What are your chances of success? Minimal. The ideal way to keep employees comfortable and productive would be to install multiple thermostats and adjust temperatures to suit each individual.

In like fashion, too much control, too little control, or universally applied control (one size fits all) on your part will make employees uncomfortable and affect performance.

Overcontrol

How do you feel when someone with authority is peering over your shoulder, watching your every move as you perform a task? It takes an extra measure of self-esteem to perform well. The overcontrolling manager:

- -Insists on hands-on ownership of all aspects of the organization
- -Micro-manages; looks over every employee's shoulder
- -Insists on making all decisions
- -Becomes a bottleneck
- -Insists on approving all outgoing documents and correspondence
- -Either does not delegate or partially delegates
- -Monitors results closely
- -Defines subordinate roles in detail

Under-Control

Imagine the absence of authority in your organization. Not as in the boss leaving early on Friday, but as in the absence of the boss's functions. How much work would get done if no assignments were made, no tasks delegated, no objectives set, no plans made? The under-controlling manager:

- -Is gone all the time; an absentee owner
- -Avoids phone calls
- -Avoids decisions
- -Lacks concern about absenteeism
- -Neither rewards nor disciplines employees
- -Allows employees to self-delegate and set their own agendas
- -Has poor, hostile, or no coordination with other organizations

Universal Control

Did you ever have a manager who insisted on providing detailed instructions to you even though you were the most experienced person in the department? The universal-control manager provides the same amount of control, regardless of employees' experience, background, or performance. This leads to problems with new employees and highly experienced employees. The universal-control manager:

- -Provides too little direction to new employees
- -Provides too much direction to experienced employees
- -Expects the same level of performance from low-code employees as from high-code employees
- -Prefers "one size fits all" practices and policies

Effective Control

The hypothetical managers portrayed above are ineffective in controlling their employees. In the presence of overbearing direction, employees become resentful; creativity is lost along with ownership in tasks and processes. In the absence of guidance or with too little guidance, employees direct their own activities. A good manager is neither lax, overbearing, nor insensitive in exercising control. The effective manager:

- -Keeps employee performance on track toward the objectives of the organization
- -Delegates
- -Monitors the organization's performance using multiple sources of information
- -Fosters good coordination with other organizations
- -Directs employees individually
- -Provides more direction to less experienced employees and less direction to those with more experience
- -Uses performance indicators to provide timely feedback

Resistance to Control

Some people tend to resist control. Experienced employees who do not need direction often resent being directed. Employees require a certain degree of control, but they also want a reasonable degree of freedom to use their own judgment. Avoid overcontrol by planning your controls and soliciting feedback. If employees have a say in how they are controlled, they are more likely to accept controls as reasonable.

For good practices for directing and influencing employees, see MAS-110, *Employee Relations*.

D. ESTABLISHING A CONTROL SYSTEM

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify elements of an effective control system.
2. Identify criteria to use in selecting performance indicators.
3. Given a scenario, evaluate the manager's effectiveness in establishing a control system.

A float valve is a good example of a simple control system. When the level in a tank of liquid falls, the float lowers, automatically opening a valve to release liquid into the tank. When the float rises, the float arm closes the valve, cutting off the supply of liquid. The system produces output (liquid) until feedback (high float level) indicates output is no longer needed.

At the WIPP, a typical objective involves meeting the criteria of a directive or a regulation instead of filling a tank with water. It is up to you to decide what data need to be monitored and how people and resources can best be used to accomplish the objective. These decisions must be made as part of the planning process.

Three elements are needed for effective control:

- Established goals and specific objectives

  The setting of goals and objectives is addressed in MAS-107, *Planning*. Your employees' individual objectives, for the most part, should dovetail with your objectives.

- Performance indicators that allow you to gauge progress toward objectives

- Mechanisms for monitoring and adjusting performance

If a supervisor is able to personally oversee the work of four or five employees, little advance planning is needed for control. Personal observations provide performance indication. The mechanism for adjusting performance is immediate one-on-one feedback.

Personal observation is a good choice if you have enough time to provide adequate one-on-one feedback to each employee. This is seldom the case for managers/supervisors with more than five subordinates. If a manager oversees 30 employees and assigns four to a special project, the four could be supervised by day-long personal observation; however, the control needs of the other 26 would not be met.

When it is unfeasible for you to personally oversee the details of the work of others toward a broad or complex objective, formal performance indicators and mechanisms for monitoring performance must be established. Complex controls require advance planning. It is important to decide during the planning stage what type of information you will need to effectively control a project or task. Your action plan will also indicate who is to perform what. This aspect of control is addressed in the "Evaluating People" section of this module.

Performance Indicators

Performance Management System objectives, Quality Improvement Plan goals, or other objectives may be set to meet an organizational goal. A good objective will be measurable; there will be a means for determining the extent to which the objective is achieved. The means that you use for gauging progress--or lack of progress--is your performance indicator.

It is easy to measure tangible quantities such as services rendered, repairs completed, occurrences reported, or waste shipments made. It is not as easy to measure intangibles. How do you quantify, for example, whether your office staff is alert? Standards that cannot be expressed in either physical or monetary measurements depend on your judgment.

How the objective is stated affects your ability to gauge performance toward accomplishing it. Objectives should be specific. A poor one might read, "Improve performance by 12%." A better one would read, "Reduce 10-day backlog of unperformed work orders by 12% by November 30." To measure progress, the manager keeps track of the number of work orders outstanding 10 days or longer after being assigned. The employees who are reducing the backlog are given regular feedback. Because there is a measurable basis and the employees know that they are being measured, the employees can adjust their efforts to ensure more orders are worked within the allotted time.

Good practices for the use of performance indicators are found in the "Measuring Productivity" section of this module. By tracking and trending the performance indicators for the organization, you are able to measure productivity.

Data Needed for Control

Data needed to measure productivity are not necessarily the same data needed for control. For control, you need data that will enable you and your employees to correct performance shortcomings in a timely manner.

The measurement of performance against standards ideally would be a measurement of the future instead of a measurement of the past. The ideal is to detect performance deviations before they occur. You then could change your plan in time to avoid deviations. In predictive maintenance, equipment performance is monitored for characteristics that foretell downtime. If vibration analysis shows that a bearing is trending toward failure, the bearing can be serviced at a convenient, pre-planned time instead of whenever the bearing happens to fail.

In the absence of foretelling data, use data that will disclose important deviations as early as possible. It is always easier to solve small problems early, before they grow into big ones.

Not all deviations are important. For example, an increase of five percent in subcontract labor costs would be very significant in a labor-intensive project. However, an increase of 20 percent in the cost of postage for the same project would be of little concern. The former is a small percentage increase that costs a lot; the latter is a large percentage increase that costs very little.

The indicators to look for in your organization are those that will point out critical deviations. *Critical* factors are those that will either limit the operation of your organization (such as a supply shortfall, running short of funding, or running short of time) or show better than other factors whether your operation is proceeding as planned. Look for critical control points in your plan for achieving objectives.

By monitoring critical indicators, you free up your time. A manager or supervisor has far more to do than personally observe performance all day.

In selecting performance indicators, look for those that are readily available and will best:

- Reflect the goals of your organization
- Show deviation from progress toward those goals
- Measure critical deviations
- Specify who or what is responsible for any failure

The operator log sheet is a good example of critical performance indication. The log sheet lists each item of equipment to be checked for a particular shift position along with the normal range for each variable checked. If a variable (such as a gauge reading) is found out of range, the operator circles the variable in red, logs the reason for the abnormality, and takes actions necessary to restore the variable to normal. The operators turn their log sheets in to the cognizant supervisor, who can quickly look for variables circled in red and decide whether further action is needed.

The log sheet system enables *control by exception*. It identifies which problems need attention from the supervisor and which can readily be taken care of by subordinates. Performance levels are set for key areas. When indications fall outside the defined limits, intervention is necessary.

An effective control system provides uncomplicated information and is cost-effective; the cost of the control system must not exceed the benefit gained through its use.

Responding to Deviations

Deviations can be either positive or negative. In either case, it is important to identify the cause before taking any action. If the performance is better than expected, reinforce the behavior that caused the deviation. Use the good practices found in the "Rewarding Personnel" section.

Negative deviations require corrective action. This action may include:

- Revising objectives

  If components for a plant modification are delayed three months due to a supply shortage, the objective must be revised.

- Revising your plan

  Not all variables, delays, or obstructions can be foreseen. Your job is to make necessary adjustments.

- Replacing personnel

  Better selection of employees may be required.

- Active leadership

  A fuller explanation of the job, informal training, or coaching may be in order.

- Get help

  Sometimes a helping hand from inside or outside your organization is all that is needed to bring a project back on schedule.

- Training

  Training is appropriate in some cases where skill, knowledge, or behavior is lacking. For good practices on the use of training, see MAS-129, *Training and Qualification of Personnel*.

- Improved human performance control

  People controls are addressed in the "Rewarding Personnel" and "Progressive Monitoring" sections of this module.

E. MEASURING PRODUCTIVITY

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify good practices for measuring productivity.
2. Identify practices to avoid in measuring productivity.
3. Given a scenario, evaluate the manager's effectiveness in measuring productivity.

Many performance indicators at the WIPP are trended for the DOE and other regulatory agencies. Performance reports are readily available for your use in measuring progress toward your organization's goals. Here are some of the indicators reported:

- WID Monthly Progress Report

  This provides data on the technical progress, costs, and schedule progress of the WID.

- Award Fee Performance Evaluation Report

  This is an evaluation of WID's performance relative to the management and operation of the WIPP. The evaluation is performed in accordance with the Performance Evaluation Plan and reflects an integrated assessment of all evaluation criteria. The report considers all known audits, appraisals, Inspector General/General Accounting Office reports, etc., conducted during the evaluation period. It also reflects unresolved items from earlier periods.

- WIPP Correspondence and Commitment Tracking System Statistics

  This tracks the percentage of external customer requests that are met on time each month.

- Performance Indicator Report

  Required by SEN-29-91, "Performance Indicators and Trending Program for Department of Energy Operations," this report is prepared quarterly. It includes areas such as the following:

  -Recordable injuries and illnesses
  -Lost work days
  -Occupational Safety and Health Administration violations
  -Environmental incidents

-Hazardous materials overexposures
-Unusual occurrences
-Environmental monitoring data
-Open DOE audit issues
-Corrective maintenance backlog
-Preventive maintenance overdue
-Violations of operating procedures
-Skin contaminations

If existing indicators are unsuited for measuring progress for your organization, look for other readily available data. You should have at least one indicator for each objective that is important. Judgment is required. Ask these questions:

- Which performance indicators are essential for the control of your organization?

- Which variables can be monitored to best help you keep your team on track?

- Which indicators will best enable you to forestall problems that will slow progress toward objectives?

If you choose too many variables to monitor, information overload can prevent you from responding efficiently to changing circumstances. If you choose too few, you may not be able to foresee problems in time to respond.

Displaying Performance Indicators

Once you decide on a performance statistic for your organization, ensure that the data is displayed. Telling employees that they have achieved a backlog reduction of three percent is not as powerful as displaying the reduction on a chart. It is easy for employees to understand that if they improve their individual and team performance, the data on the chart will move in a favorable direction. Posting the chart in a prominent place serves as a constant reminder of the objective.

Instructions for converting data into useful charts are found in PRO-107, *Accountability*, a self-study module in WID's Successful Professional Development Program. For additional information, contact the Team Leader, Professional Development.

Good Practices for Measuring Productivity

- Use charts to display progress toward important organization goals
- Update performance indicators frequently

  Charts should be changed as soon as new information is available.
- Once the performance indicator is in place, delegate the task of keeping the chart up to date
- If a standard cannot be expressed in either physical or monetary measurements, look for a tangible quantity related to the standard

  For example, reduced absenteeism is one indication of improved morale.
- In determining performance indicators for your organization, consider those that are already being trended for the DOE or other regulatory agencies
- If none of the performance indicators trended for regulatory agencies is suited for indicating progress toward your objectives, look for other readily available data

Practices to Avoid

- Choosing too many or too few performance indicators

  The proper quantity is the number that will enable you to keep your employees on track toward your organization's goals.
- Failing to share organization performance indicators with your employees

F. EVALUATING PEOPLE

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify steps for controlling people problems.
2. Given a scenario, evaluate the manager's effectiveness in analyzing people problems.

Delegation

Part of controlling is matching the capabilities of personnel with the demands of tasks. Effective delegation gives you more time to manage your area of responsibility. Good practices for doing so are found in the "Delegation" section of MAS-104, *Responsibility and Authority*.

Controlling People Problems

Many of the same principles that apply to the control of tasks apply equally well to control of people. Many of the problems managers face from day to day are human performance problems. A common complaint among managers is that *people do not do what is expected of them*.

It is important to gather information and objectively analyze a human performance problem before taking action. Disregard negative sentiments and speculation. Obtaining answers to the following questions will establish a factual overview:

1. Whose behavior (a person or a group) is the subject of concern?
2. What specific behavior is of concern?
3. Where is the behavior observed?
4. When was this behavior first observed?
5. When since then has this behavior been observed? Is there a recognizable pattern?
6. What are the effects of the behavior on operations of the organization?

Avoid opinion. "Ron is content to turn in sloppy work" is not a quantified statement. "For the last three reports, Ron's error rate has been eight percent" is specific.

You need facts to construct a specification or to quantify a deviation. Comparative information is essential. What is the standard to which the behavior can be compared? Are the same tasks being performed acceptably by someone else in your organization? Some examples of statements that will help you analyze:

- "Steve and Mike prepare the same types of reports. Steve and Mike made no errors during the last three reports."
- "Ron was not making errors three months ago when he was at a different work station."

Many factors influence human performance. An example of performance analysis is found in the "What Training Cannot Do" section of MAS-129, *Training and Qualification of Personnel*. Asking specific questions can turn up a fault in equipment, inadequate instructions, workplace distractions, or some other true cause.

Before taking action, verify through counseling the employee that the probable cause is a true cause. Good practices for counseling are found in MAS-110, *Employee Relations*.

What to Do When an Assignment Does Not Work Out

Removing an employee from a delegated assignment is made easier by feedback. Provide feedback face-to-face, in private. Minimize criticism. If the employee is made aware of substandard work in a non-judgmental, problem-solving manner, the employee has reason to be receptive to reassignment. Address the reassignment in a positive manner. If the employee is returning to former duties, reaffirm the value of those duties. The idea is to guide the employee toward effective job performance.

G. REWARDING PEOPLE

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify good practices for rewarding employees.
2. Identify practices to avoid in rewarding employees.
3. Given a scenario, evaluate the manager's effectiveness in rewarding personnel.

People have material needs and psychological needs that are satisfied through work. Compensation addresses material needs. Psychological needs include the recognition of abilities and achievements and social acceptance as members of a group. Reccgnition from a manager or supervisor for a job well done is a powerful motivator. There are many ways of rewarding employees for effective performance:

- Merit increases

  When objectives are achieved or exceeded, a merit increase can be requested for the employee. As a reward, the increase produces a short-lived good effect. Other rewards are often more effective in producing loyalty and commitment.

- Formal Awards

  Many corporate awards are available to recognize outstanding work by employees. These include George Westinghouse Signature Awards, Total Quality Awards, and others.

- Informal Awards

  A handwritten personal note containing sincere praise can be a powerful motivator. So can a small gift paid for from your pocket. Praise is most powerful when delivered in writing.

- Promotion

  Promotion can be the reward for long-term effective performance by a suitable candidate.

- Feedback

  Face-to-face, one-on-one feedback rewards effective performance. If your expectations are reasonable, your employees will want to please you if they know they will get positive feedback. This is a major tool for reinforcing desired behavior.

- Memos and Certificates

  A memorandum can be an effective reward as a form of formal recognition at the completion of a project or cycle. Certificates, even if humorous, can also be effective in raising esteem.

Good Practices

- Look for reasons to praise each employee's behavior

  You cannot give too much praise as long as your praise is sincere. People usually do not hear about the positive effects of their task performance; point them out without being syrupy.

- Reward good behavior as soon after the behavior as possible

  This gives the reward maximum impact. When there is a time lag, the employee may forget what was done that was so effective at the time and may not connect the reward with the specific desired behavior (what or how).

- Be sincere

  Insincerity shows. It has the opposite effect of sincerity. Employees will be turned off and suspect your motives if you are not sincere.

- Be personal

  You are personally glad that the employee performed effectively. It makes your job easier. When you are pleased, show it. Smile. Shake the employee's hand.

- Reward performance, not personality

  In giving a reward, specifically mention the behavior being rewarded. Make each reward an event. For example, if one of your employees wins an award, present it at a meeting of your employees. Tell them the significance of the award. Praise the performance that earned the award.

Practices to Avoid

- Rewarding inadequate performance

  It takes courage to confront an employee with shortcomings. If you avoid the problem, you only set the employee up for failure. Do not give a good rating to a poor performer or recommend one for a pay raise. If you do, the WID will suffer.

- Transferring or promoting a poor performer to another organization

  Getting the poor performer out of your organization does not solve the problem. You need to level with the employee; give him or her objective feedback. Without resolution of the performance problem, the employee has little chance for success in another WID position.

- Insincerity

  Employees suspect your motives and your integrity if they feel you are insincere in your praise or criticism.

- Impersonal reward giving

  Rewards are powerful motivators. Reward-giving enhances pride and team spirit. An award can be rendered powerless if delivered without significance or if informally presented. "Here's your reward, Wanda" says a lot less than "Hey, everybody, Wanda did a better job of _____ than any one else at any other Westinghouse site. Her diligent and superior efforts earned the _____ award. Give her a hand."

CRITICAL INCIDENT
INEFFECTIVE BEHAVIOR

Occurrence: An employee earned an award. The employee's manager sent the award to the employee in the mail.

Impact: The employee did not know what the award was and threw it away. The award was ineffective in rewarding the employee for a job well done.

Lessons learned: When one of your employees earns an award, present it to the employee; make it a rewarding experience.

H. CONTROL THROUGH PROGRESSIVE MONITORING

Enabling Objectives

Upon completion of this section, trainees will be able to perform the following:

1. Identify good practices for progressive monitoring.
2. Identify practices to avoid in progressive monitoring.
3. Given a scenario, evaluate the manager's effectiveness at progressive monitoring.

Most of the time, employees are motivated through positive reinforcement. Motivation attracts employees toward a goal. The opposing control is progressive monitoring. Your controls over employee performance are *pull* (motivation) and *push* (progressive monitoring).

There are four basic steps in progressive monitoring:

1. Seek the employee's agreement with your plan for accomplishing an objective.

   If possible, get the employee's consensus on the completion date for a task before finalizing your plan. This consensus establishes the basis for monitoring the progress of work.

   If you are comfortably familiar with an employee's ability to perform a delegated task, little monitoring is necessary; the employee can be expected to inform you of potential delays or obstructions. Use the good practices for directing employees found in MAS-110, *Employee Relations*, and the good practices for delegation found in MAS-104, *Responsibility and Authority*. If you are unfamiliar with the employee's ability to perform the assigned task, observe the employee's performance.

2. If an agreed-upon milestone or completion date is missed, talk with the employee and find out why.

   If there is a problem with the employee's performance, conduct a counseling session as described in MAS-110. The ideal outcome of the session is for the employee to recognize the problem and volunteer a plan to correct it. With the consensus of the employee, establish a second completion date for the task. If the task had to be completed by someone else because of time constraints, get the employee to agree on the completion date for another task. Escalate monitoring of the

employee's performance. Use the good practices for feedback found in MAS-106, *Communications*. If this second agreed-upon date is met, monitor the employee's performance more often on other tasks to ensure the problem is not repeated.

3. If the second agreed-upon date is missed, remove the opportunity for consensus; set a firm date for completion.

   As in counseling, meet in private. Make it clear that the formal discipline process will be set in motion unless the third completion date is met. After the meeting, closely monitor the employee's performance.

4. If the problem remains unresolved, employ formal discipline.

   Notify Employee Relations. Begin the disciplinary process as described in MAS-112, *Administrative Requirements*, with a verbal warning. Continue close monitoring during the discipline process.

The principles of coaching given in MAS-111, *Personnel Development*, apply to progressive monitoring. Restrain criticism of an employee who tried but failed; harsh criticism will discourage the employee from trying again. The manager who criticizes too much will be loathed, not respected.

Good Practices

- Use progressive monitoring to avoid formal discipline

  In many cases, informing the employee that a problem exists results in resolution of the problem.

- If discipline is necessary, follow Employee Relations policies

- When a need for control is evident, act

  Solve small problems before they grow into big ones. Employees will not respect a manager who does not enforce standards.

Practices to Avoid

- Inventing your own discipline

  Use the system described in MAS-112. Do not send scathing memos or letters to file.

- Avoiding confrontation

  Confront behavior and performance problems. Be pro-active, not submissive.

- Using threats

  Do not threaten employees with increased monitoring or discipline. Be decisive. If you are unsure whether discipline is appropriate, ask Employee Relations.

CRITICAL INCIDENT
INEFFECTIVE BEHAVIOR

Occurrence: Instead of counseling or using formal discipline, a manager sent an employee a condemning memo.

Impact: The employee came unglued, creating a spectacle.

Lessons learned: 1) Inventing your own discipline can be disastrous. 2) Emotional outbursts can be avoided or dealt with in private when managers use prescribed methods of control.

I. SMART MOVES--WHAT YOU CAN DO NOW

Here are some things you can do now to make your section or department more effective:

- Check the present control system in your area of responsibility for overcontrol, under-control, or universal control. Then check for effective control (*page 7*).
- Avoid overcontrol by planning your controls in advance and soliciting feedback (*page 9*).
- Establish an effective control system or assess the one you already have (*page 10*).
- Free up your time by monitoring critical indicators (*page 12*).
- To easily chart progress toward your organization's goals, use performance reports prepared for regulatory agencies (*pages 15 and 17*).
- Display performance statistics using charts (*page 16*).
- Analyze a human performance problem before taking action (*page 18*).
- Look for genuine reasons to praise each employee's behavior (*page 20*).
- Use progressive monitoring to avoid formal discipline (*page 23*).

J. MODULE REFERENCES

Frunzi, George L., and Jack Halloran, *Supervision, the Art of Management*, Prentice-Hall, Englewood Cliffs, N.J., 1991

Van Fleet, David D., *Contemporary Management*, Houghton Mifflin, Boston, Mass., 1988

Kepner, Charles H., and Benjamin B. Tregoe, *The New Rational Manager*, Princeton Research Press, Princeton, N.J., 1981

Controlling, Development Dimensions International, Pittsburgh, Penn., 1986

Hill, Norman, and Jeffrey Glenn-Levin, *Controlling, Participant Workbook*, McGraw-Hill Training Systems, 1986

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INPO 86-019 *Management Objectives Program*, Institute of Nuclear Power Operations, 1986

K. PRACTICE TEST

1. The four basic areas of managerial control are

   a. security, human resources, money, and the environment.

   b. Operations, Maintenance, Radiological Protection, and Support.

   c. private, governmental, non-profit, and educational.

   d. people, information, physical resources, and finances.

   (B.1)

2. A manager who is absent all the time, avoids calls, and avoids decisions is displaying characteristics of

   a. effective control.

   b. under-control.

   c. overcontrol.

   d. universal control.

   (C.1)

3. Every time a technician was assigned to run the program, her supervisor would go over the instructions for doing so step by step, even though the technician had run the program a dozen times or more without error. Is this a good practice? Why?

   a. YES--repeating the instructions prior to each run reduces the chance that the employee will make a mistake

   b. YES--this ensures that the employee will perform the steps the way the supervisor wants them performed

   c. NO--the supervisor is applying too much control

   (C.2)

4. In searching for performance indications of improved employee morale, a manager trended absenteeism. Is this a good practice? Why?

   a. YES--reduced absenteeism is one indication of improved morale

   b. NO--performance indicators must be approved by the DOE before they are trended

   c. NO--there is no correlation between absenteeism and morale

   (E.3)

5. Elements needed for effective control include performance indicators that

   a. boost morale.

   b. can be easily reported to regulators.

   c. allow you to gauge progress toward objectives.

   (D.1)

6. To analyze a deviation in individual performance, a manager notes, "Bob's work is sloppy. Ted's work is not sloppy; neither is Jane's." Is this a good practice? Why?

   a. YES--a quantified deviation such as this is necessary for objective analysis

   b. YES--the manager is making a quantified comparative analysis

   c. NO--comparisons should not be drawn between the performances of different employees with like duties

   d. NO--"Bob's work is sloppy" is not a quantified statement

   (F.2)

7. At a staff meeting, a manager tells an employee, "Bob, the APEX project that I assigned to you last month is way behind schedule. This is unacceptable. I want you to turn APEX over to J.R. as soon as this meeting is over." Is this a good practice? Why?

   a. YES--the manager is demonstrating good feedback technique by being matter-of-fact

   b. YES--humiliating Bob by announcing the assignment change in front of his peers is a good way to motivate him to perform better next time

   c. NO--the manager should have asked Employee Relations to inform Bob of the change in assignment

   d. NO--in removing the assignment, the manager should have given Bob feedback face-to-face in private

   (F.2)

8. Following completion of the APEX project, J.R.'s manager sends him a handwritten personal note, praising his effectiveness in getting the job done. Is this a good practice? Why?

   a. YES--a handwritten note of praise can be a powerful motivator

   b. NO--if you praise an employee's performance, the employee will only be motivated to ask for a pay raise

   c. NO--praise should be formal; the note should be typed on Westinghouse letterhead, not handwritten

   (G.3)

9. An employee completes a major project two months ahead of schedule. As soon as the work is signed for, the employee's manager calls her into the office to congratulate her and say, "Tell me how you beat the schedule." Is this a good practice? Why?

   a. YES--good behavior should be rewarded as soon after the behavior as possible

   b. NO--once the objective is met, the manager has no stake in how it was met

   c. NO--the manager should wait until the employee has had some time to think about what was done that was so effective

   (G.3)

10. To accomplish an objective, a manager tells an unmotivated employee, "I want this done by 4 p.m. Friday. I know you can do it. Go get started." Is this a good practice? Why?

   a. YES--issuing a directive is the first step in the progressive monitoring process

   b. NO--the manager should seek the employee's consensus on the due date

   c. NO--for the first step in progressive monitoring, the manager should notify Employee Relations

   d. NO--if an employee is unmotivated, formal discipline should be initiated

   (H.3)

L. ANSWERS AND FEEDBACK FOR THE PRACTICE TEST

1. d. people, information, physical resources, and finances.

2. b. under-control.

3. c. NO--the supervisor is applying too much control

4. a. YES--reduced absenteeism is one indication of improved morale

5. c. allow you to gauge progress toward objectives.

6. d. NO--"Bob's work is sloppy" is not a quantified statement

7. d. NO--in removing the assignment, the manager should have given Bob feedback face-to-face in private

8. a. YES--a handwritten note of praise can be a powerful motivator

9. a. YES--good behavior should be rewarded as soon after the behavior as possible

10. b. NO--the manager should seek the employee's consensus on the due date

If you scored 80 percent or higher on the practice test, you are ready to take the module examination; please proceed to Organizational Development.

If you scored less than 80 percent on the practice test, please re-read the module and take the practice test again. If you still have questions, contact the Team Leader, Professional Development or the Manager, Organizational Development.